ASSESSMENT OF THE MONITORING AND EVALUATION SYSTEMS FOR THE YOUTH ENTERPRISE DEVELOPMENT FUND (YEDF)

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DECLARATION

This project report is my original work and has not been presented for a degree award in any university.

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This project report has been submitted for examination with my approval as the university supervisor.

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DEDICATION

I would like to dedicate this project to my dear wife, Aileen Kairuthi for her unwavering moral support and patience throughout my study period. I also dedicate this project to Youth Enterprise Development Fund (YEDF) for their immense support and willingness to offer the needed information throughout my study period. It is my sincere hope that this report will contribute to strengthening of their M&E system. Lastly, I would also wish to present this project to Population Studies and Research Institute (PSRI) for M&E postgraduate class and that it will contribute to the existing pool of knowledge that will inform future assessments.

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LIST OF ACRONYMS AND ABBREVIATIONS

CSSC	Christian Social Services Commission
CWIQ	Core Welfare Indicator Questionnaire
HMIS	Health management information systems
IEG	Independent Evaluation Group.
IFC	International Finance Corporation
LSMS	Living Standards Measurement Surveys
M&E	Monitoring and Monitoring
MDGs	Millennium development goals
MIGA	Multilateral Investment Guarantee Agency
NIMES	National Integrated Monitoring and Evaluation System
NSO	National Statistical Offices
OVIs	Objectively verifiable indicators
PEPFAR	United States President's Emergency Plan for AIDS Relief
PRS	Poverty Reduction Strategies
PSRI	Population Studies and Research Institute
SPIC	Strategic Plan Implementation Committee
TWG	Technical working group
UNAIDS	United Nations Aid
YEDF	Youth Enterprise Development Fund

ABSTRACT

The general objective of the assessment was to determine the status of the Youth Enterprise Development Fund Monitoring and Evaluation system and its contribution to the improvements of the programme. Specifically, the assessment was aimed at: determining the level at which the YEDF M&E system meets the established standards; identifying strengths and gaps of YEDF M&E system. The assessment employed descriptive research design to establish strengths and gaps which are fundamental to the realization of research objectives. The assessment adopted the UNAIDS framework for a functional national HIV monitoring and evaluation system. Data was collected through structured questionnaire. Overall, YEDF M&E system scored 2029 out of 2744 which is 74 percent. This is an aggregated score from all the 12 components. Scores vary from component to component with M&E partnerships scoring the highest at 82 percent and human capacity recording the lowest score at 66 percent. The key strengths of YEDF M&E system include: strong M&E partnerships, alignment of indicators to national and sub national indicators, continuous communication and advocacy to improve programme. Key gaps that were identified include: inadequate staff with the required knowledge and skills in M&E, documentation of M&E procedures, inadequate evaluation and research capacity of M&E staff, corrections are not made after data quality assessments. However, documentation and data verification components present opportunities for strengthening.

The key recommendations that were made basing on the findings include: the need to update the M&E Framework and fully align it to the current strategic Plan, the need to document all aspects of YEDF M&E system in the updated M&E Plan, project to draw a clear and more specific M&E budget lines, the M&E team to conduct more regular data verification exercises and make necessary corrections prior to sharing of data, and the need to build targeted and customized M&E capacity of field-level staff.

CHAPTER ONE: INTRODUCTION

1.1 Background

Monitoring involves from time to time keeping track of all project components at the project, program, sector and national levels and also entails the monitoring of the national progress against the set millennium development goals (MDGs) and other national parameters of development agenda (Kusek & Rist, 2004). Monitoring is an internal function to a project and it involves: establishing indicators, setting up systems to collect information, collecting and recording and analyzing information, and using the information to inform day-to-day management. Monitoring is important since it necessitates the modification of activities if they emerge not to be achieving the desired results (Hunter, 2009 and Shapiro, 2011).

On the other hand, evaluation is the periodic and a retrospective assessment of an organization, project or programme to ascertain whether it has met its objectives. It also a systematic process aimed at determining the worth of an ongoing or completed project to answer questions of a project/program on how well its outcomes has impact, relevance, effectiveness and efficiency on the resource use, and the overall sustainability of its results. (Kusek & Rist, 2004).

Monitoring and evaluation (M&E) has become over the recent years a worldwide essential tool in efforts to achieve environmental, economic and social sustainability. At national and international levels, the sustainability element and indicators for M&E are key in defining, monitoring and reporting on ecological, economic and social trends, tracking progress towards goals and influencing policy and practices (Gyorkos, T. 2003).

M&E systems provide institutions with a tool to enhance sound governance by providing information to support evidence-based policy decisions and evaluating effectiveness of projects/programmes. (World Bank 2009, IMF 2005)

A report (UNDP 2002) argues that that there has been growing demand for the development of effectiveness to improve people's lives. This calls for effective utilization of monitoring and evaluation results for continuous improvement and quality of performance in organization. Similarly as a result of increased globalization, government and organizations around the world have been more responsive to the demands of internal and external stakeholders for good governance, accountability, transparency and greater development effectiveness (Hiller 2002; Kusek and Rist, 2001).

Such growing demands calls for enhanced monitoring and evaluation of policies, structures and frameworks for programmes and projects (Binnendijk, 1999). Building a resulted based M&E system is therefore an essential tool for the growing pressure to improve performance and donors to check on the effective use of the donor funds, impact and benefits brought by the projects.

When millennium Development Goals (MDGs), which came into play in the 2000s, it further embraced the idea of monitoring and evaluation The MDG objectives were translated into a set of indicators that could measure progress. In the recent past, there has been much focus on results based approach which has some elements of monitoring and evaluation, for example reducing poverty and improving living standards of people (Creswell, J.W 2009).

Monitoring and evaluation thus can be seen to have roots in results-based management approaches. Kusek and Rist (2004) noted that, results based approach uses both the traditional approaches to M&E, at the same time allowing measurements of results. The focus on results has gained popularity among many organizations around the world (Kusek & Göergens, 2009).

1.2 Youth Enterprise Development Fund

The Youth Enterprise Development Fund (YEDF) was established in Kenya in 2006 with the aim of assisting the youth enterprises access capital to start up their own businesses or support existing ones. The objectives of the fund include provision of loans to youth owned enterprises, support youth oriented micro, small and medium enterprises to develop linkages with larger enterprises, provide business development services to youth enterprises, among others. It mainly receives funds allocation from the treasury (MOYW&S, 2013).

The success of the Fund's Strategic Plan implementation depends significantly on how effectively the planned activities and outputs are monitored and evaluated. The objective of the M&E is to ensure that the Fund's development over the Plan period remains on the chosen road map. The M&E function shall be strengthened and upgraded to a full department headed by a Manager responsible for Planning, Monitoring and Evaluation. The M&E System of the YEDF is hinged on the National Integrated Monitoring and Evaluation System (NIMES) and tracking of the plan's performance through the Implementation Matrix. The matrix is designed to ensure the following: Ensure an effective performance information system, Establishment of clear schedules for

performance information reporting on an on-going basis, Ensuring that all reporting centers provide time and commitment to the process, Candid specifications of the roles of individuals submitting or receiving the documents taking into consideration internal progress reports, external reviews and an annual report card, Linking M&E to the Fund's performance contracting tool and annual staff appraisal.

The Fund's Strategic Plan M&E framework consists of a five-member Strategic Plan Implementation Committee (SPIC), facilitated by the Monitoring and Evaluation Department of the Fund. The committee continuously monitors activities, outputs and outcomes to advise the CEO and Management on the Strategic Plan implementation status. The specific role of the SPIC is as follows: To assist each department to prepare objectively verifiable indicators (OVIs) as set out in the Implementation Matrix; to meet implementing managers after every quarter to track implementation progress over the previous month and prepare a report for the CEO.

Progress reports are prepared by all departments and undertaken quarterly and in line with the Fund's budgetary cycles. To co-ordinate the M&E process and assist the departments in compiling the reports for presentation. Reports describe actions taken by departments during each quarter towards achieving specific outcomes and strategies of the plan and may include costs, benefits, performance measures and progress to date. Any rewards for exemplary performance and decisions taken to motivate performance through the next cycle are made at this point.

Continuous evaluation of results (outputs and outcomes) is undertaken by the Planning, Monitoring and Evaluation department. The department continuously evaluates all strategies, activities and outputs or outcomes with a view to advice the CEO on any performance gaps as well as offer feasible strategy alternatives. The evaluation entails the following: Measuring actual performance against target levels and establishing size of gap or variance, if any, Conducting a root cause analysis to identify factors responsible for the variance, Identifying and recommending appropriate remedial measures including a review of the objectives and/or strategies or activities, Undertaking service delivery efficiency and effectiveness surveys, Coordinating or facilitating impact assessment for various interventions. Long-term evaluation of results (impact) is conducted externally, particularly the mid-term review and end term impact assessment.

To ensure sustainability, a culture of performance management needs to cover all staff, irrespective of their levels. This enables all staff to appreciate their linkage and contributions to the implementation of the Strategic Plan and the attainment of the Fund's objectives. For the Implementation of the Plan to be effective, the M&E is an integral part of the Fund's performance contracting system and is linked to staff appraisal and reward systems. Appropriate staff training and development is recommended by the unit heads, in liaison with the SPIC, so as to enhance efficient performance of the plan. Staff and departments that meet or exceed their plan targets are commended and rewarded accordingly to motivate them. Key staffs that regularly meet and surpass their targets have this fact taken cognizance of during any considerations for promotions.

1.3 Problem Statement

While there is considerable acknowledgement of the role of monitoring and evaluation systems in both local and global run projects/programs, efforts made to strengthen the same has not yielded the much expected results and thus not attaining the most significant levels of operation (Karani et al., 2014).

This is as a result of poor institutional M&E frameworks being put in place by many public and private sectors to fully operationalize the M&E practice in their organizational levels. (Liket et al (2014). The author further notes that the need for M&E practice in most developing nations is as a result of increasing pressure by the donors/funders for the purposes of transparency and accountability reasons. It is in this regard that there exist challenges related to inadequate understanding to pay specific attention to the nature and use of M&E systems to enhance program/project efficiency, effectiveness and the most appropriate way to measure the overall impacts attributed to such interventions. (UNAIDS 2009).

Such processes cannot be conducted without a credible and strong M&E system in place to carry out such tasks. Due to this, there is need to continuously assess the M&E systems in the wake of rapidly changing environment in a view to improve them to the required standards paying attention to the key performance indicators and other monitoring yardsticks(FHI 360, 2013) .

Since the inception of Youth Enterprise Development Fund in 2006, a lot has been done ranging from the key challenges faced by the youth access to youth funds and the successful implementation and performance of youth projects but none has ever highlighted the key institutional predicaments with the M&E practice being put to mind.

The funds capacity to deliver its strategy is critical and thus calls for the strengthening of its legal, policy, instructional, technological and competence frameworks over a period to adequately create a conducive environment to attract and retain requisite skills created.

It is therefore on this basis that, there is need to comprehensively assess all the 12 YEDF M&E system components highlighting the strengths and gaps available within the system as recommended by FHI 360 (2013); World Bank (2009); UNAIDS (2009) and Global Fund et al. (2006) for strengthening.

1.4 Research Question

i. Does Youth Enterprise Development Fund monitoring and Evaluation system meet the set M&E system standards?
ii. What are the strengths and gaps of Youth Enterprise Development Fund monitoring and Evaluation system?

1.5 Research objectives

The general objective of the study is to assess the monitoring and evaluation system of the Youth Enterprise Development Fund monitoring and Evaluation system?

Specific objectives are:

i. To establish whether the Youth Enterprise Development Fund Monitoring and Evaluation system meets the set standards.
ii. Identify strengths and gaps of the Monitoring and Evaluation system of the Youth Enterprise Development Fund.

1.6 Justification of the study

An M&E system assessment is an analytical function that helps organizations to identify strengths and gaps in the system and propose measures to sustain its strengths and develop on its gaps (FHI 360, 2013). According to Thomas (2010), M&E systems play key role in identifying and promoting development work that has the most positive outcomes and biggest impact on the lives of the people. The importance of M&E function within institutions has been magnified by the rapidly growing voice of the civil society with questions of good governance and better administration being in the limelight (Odhiambo 2000).

The advent of globalization has produced growing pressures on governments and organizations around the world to be more responsive to the demands of the stakeholders who are demanding good governance, accountability and transparency, greater development, effectiveness, and delivery of tangible results (Kusek and Rist 2004). In light of the above, governments and other local institutions have a huge responsibility to fulfill this responsibility since it is the coal-face of service delivery. This requires a relevant M&E systems approach to foster accountability.

1.7 Scope and limitations of the study

This study focused on YEDF M&E system and how it affects performance of the programme. Assessment of the M&E system can cover more partners and organizations to give much wider picture on status of the system which would eventually cause resource constraints and limitation of time, the study was also limited to YEDF head office staff who could not give a broad explanation beyond the organization's M&E

system performance. The study culminated as to why assessment of M&E systems is important and why it should be conducted regularly within programmes using M&E systems. Because of the nature of the assessment and the kind of the design used, the findings of this study were not generalized to other context. Moreover, findings from the study were mostly qualitative which cannot be generalized to other contexts. All the 12 components were assessed.

CHAPTER TWO: LITERATURE REVIEW

2.1 Introduction

This chapter presents the literature reviewed and focuses on the evolution of M&E in development, the need for an M&E system, M&E system assessments, conceptual framework and the operational framework.

2.2 Evolution of M&E in Development

Estnella & Gaventa, (1997) acknowledged that M&E had evolved over time due to the need for results-based management, limited resources and involvement of non-state actors in development. M&E for developed way back in the pioneering years of the 1970s. For the purpose of clarity evolution of M&E has been categorized into different periods. This grouping does not necessarily mean that progress is linear, but it is important to understand how M&E has developed over the years. As described in the following paragraphs, Roger Edmunds & Tim Marchant, (2008) give an evolution of M&E from the 1990s to 2000s.

M&E began in the 1970s as a branch of applied research where more emphasis was on evaluation. However this perception was later challenged by individuals who viewed it as a management tool. This school of thought put emphasis on performance budgeting, M&E reporting systems and project-level budget management, those involved mainly had financial or management background and interest in project.

In 1980s, focus shifted from projects to sectors where sector-wide approach became popular as a way of advocating and coordinating sector-wide and national development

planning. Monitoring and evaluation developed into functions within the ministries and later M&E units were established in the ministries. At the time, National Statistical Offices (NSOs) did not actively participate in monitoring and evaluation of programmes, they occasionally did baseline surveys but were not fully set up to do M&E work. This early cooperation between NSOs and sectoral M&E programmes were not successful.

In the 1990s, NSOs became actively involved in monitoring of poverty using multi-topic household surveys. In most countries, NSOs were the only agency with the capacity to carry out large-scale national household surveys. However, their experience and skills were on the data collection and processing and not on data analysis. The analysis that NSOs did was basically descriptive and missed the analysis of crucial links between specific poverty policies and their outcomes in living standards. For an appropriate analytical capacity one need to go to universities and research centers. That notwithstanding, suitable capacity for poverty analysis was developed during this time, and some good poverty assessments were done.

With the introduction of poverty reduction strategies in the 2000s, there was a collaboration of poverty monitoring activities, project and sector-based M&E efforts. This was influenced by the increasing interest in evidence-based development as well as the need to establish national M&E programmes that centered on monitoring of Poverty Reduction Strategies (PRS) results. This also marked the beginning of the acknowledgement that information from M&E information is useful to both planners, policy-makers and planners, and to members of civil society and the public. M&E could as well promote accountability in public sector and private organization.

2.3 The need for an M&E system

M&E systems are important for a number of reasons. Past literature reveals that it is a credible source of information pertaining to organizational performance, thereby generating the kind of information decision makers can ascertain whether outcomes were achieved or not. Ultimately, this can promote credibility and raise public confidence and trust in the organization, thus supporting the notion of transparency and accountability (Morra Imas & Rist, 2009), which strengthens governance and establishes a performance culture within governments officials, managers and civil society with better means for improving service delivery, learning from past experience, demonstrating results, planning and allocating resources as part of accountability.

Morra Imas & Rist (2009) concur that the purpose of any evaluation is to provide information to decision makers to enable them make better decisions about projects, programmes or policies. Evaluation should help decision makers understand what is likely to happen, is happening or has happened because of an intervention and identify ways to obtain more of the desired benefits. M&E helps to identify and correct mistakes and build on the successes of best practice, thereby contributing to "continued improvements in the design and administration of programs (Atkinson & Wellman, 2003; Annecke, 2008).

M&E is an important process that produces information to make informed decisions regarding service delivery and operations management including efficient and effective utilization of resources; establish the extent to which intervention is on track and to make any required amendments accordingly and measure the extent to which the programme

has achieved the desired impact. Studies can also be done from time to time to assess the relevance and need for programme (Rossi et al, 2004).

2.4 M&E System Assessments

FHI 360 (2013), World Bank (2007), UNAIDS (2009) and Global Fund et al. (2006) reiterate the need to periodically assess M&E systems at national, organizational and/or programme/project level to enable M&E stakeholders detect strengths and flaws in the existing system and recommend on the possible actions to sustain its strengths and work towards improving on its weaknesses. On the other hand, Karani et al., (2014) note that the importance of M&E is increasingly and rapidly being recognized, as stakeholders in development question the usefulness and effectiveness of development efforts. As a result, most organizations have developed M&E systems to enable them measure performance of their development interventions.

FHI 360 (2013) recognizes the expected outcome of a functional M&E system as not only production of high quality data, but also ensuring that the necessary inputs such as infrastructure, financial and human resources, equipment and supplies and capacity of the underlying system are in place to support the production, analysis and use of data. Thus, improving the quality and effectiveness of an M&E system is critical (FHI 360, 2013). With this in mind, organizations such as the World Bank, UNAIDS, The Global Fund and FHI 360 have invested in M&E system assessment tools such as the Monitoring and Evaluation Systems Strengthening Tool (Global Fund et al., 2006), Participatory Monitoring and Evaluation System Assessment Tool (FHI 360, 2013), and the twelve Components of M&E System Strengthening Tool (UNAIDS, 2009) have been developed

to guide this important component. The above M&E system assessment tools have been used to assess national and organizational M&E systems.

Ogungbemi et al. (2012) assessed Nigeria's national HIV M&E system using the 12 Components Monitoring and Evaluation System Strengthening Tool by UNAIDS (2009). The M&E assessment employed a qualitative and participatory approach that enabled discussion, reflection and consensus building. The main activity of the assessment process was the completion of the 12 components tool by stakeholders to serve as a basis for discussion and strategic planning and help build commitment to improving M&E system performance.

World Bank's Independent Evaluation Group (IEG) assessed M&E systems of the International Finance Corporation (IFC) and Multilateral Investment Guarantee Agency (MIGA) (IEG, 2013) and asserts that these sources meet the evaluative inquiries targeted to particular business segments and M&E characteristics. IEG used multiple instruments in its evaluation; interviews and surveys of staff and management, a sample of project-level M&E data, desk reviews of policies and procedures, various internal databases, internal memos and strategic documents. IEG compared existing procedures, practices and M&E policies, with established standards such as the good practice standards for private sector evaluation of the Evaluation Cooperation Group (ECG) for multilateral development banks.

Kate et.al (2002) conducted an assessment of the Roll Back Malaria monitoring and evaluation system so as to provide recommendations for improvements of the monitoring system at all levels of the partnership. The methodology used consisted of database

reviews, document reviews, summary analysis of indicators and methodology, and key informant interviews in Geneva, Harare and Atlanta. The study revealed weaknesses in methodologies used to collect data, inconsistencies and lack of standardization across the data collection efforts, gaps and delays in data acquisition and entry, and lack of financial and human resources at key centers.

Development Associates, (2003) conducted a study which aimed to provide an assessment and inventory of the status of strategic objective (SO) 16 Partner monitoring and evaluation functions, plans, and systems. In preparing the report, each of the SO 16 Partner's M&E activities were individually reviewed, with a focus on; monitoring and evaluation systems design, data quality and collection methodologies and usage of M&E systems for program planning as well as reporting. From this, strengths and weaknesses were analyzed, and recommendations were made. Relevant documents were also collected and analyzed for each of the SO 16 Partners. They included; scopes of work within the contractual agreements with USAID, the activity's quarterly reports, as well as any other relevant documents available such as client satisfaction reviews, mid-term assessments, and impact and/or process evaluations. The results showed that while some partners have developed sophisticated and comprehensive M&E systems, others have not implemented any formal system of information gathering and analysis.

FANTA, (2016) conducted a landscape analysis to document the types of nutrition indicators collected at the national level in 16 countries funded by the United States President's Emergency Plan for AIDS Relief (PEPFAR) that were implementing Nutrition, Assessment, Counseling, and Support (NACS) activities. Lists of indicators for each of these categories were provided by FANTA‟s in-country networks. These

networks included; FANTA staff, other projects working in nutrition and other U.S. government-funded programs. The analysis was carried out on behalf of the Office of HIV/AIDS and focused on the following health-related M&E systems; general health management information systems (HMIS), HIV-specific M&E systems, tuberculosis (TB)-specific M&E systems, Nutrition-related M&E systems. The findings were of interest to national and international stakeholders working to support government-led monitoring and evaluation (M&E) systems for nutrition programs in these countries. The study included countries that are located in sub-Saharan Africa, expect for Haiti and Vietnam.

MSH, (2013) conducted an assessment with the overall objective to support Christian Social Services Commission (CSSC) in strengthening their M&E system and to link it with a database system that will accurately capture, and improve reporting of the activities. The M&E System assessment was done using various methodologies, these included; administering MEASURE Evaluation tools for assessing the M&E Systems, MOST Plus tool and FANIKISHA tool. The result of the study showed that CSS's M&E system is in place with some levels of functionality. Most of the system components showed some evidence of capacity and only needed to be strengthened.

2.5 Conceptual Approach

The conceptual approach for the study was founded on UNAIDS framework for a well-functioning national HIV monitoring and evaluation system. As shown in Figure 2.1 the framework was selected since it assesses all the 12 components and since the YEDF M&E systems are hinged to the National Integrated Monitoring and Evaluation systems,

the UNAIDS frameworks for a functioning Monitoring and Evaluation systems was preferable for this study as opposed to using other frameworks such as (FHI 360, 2013) which assesses only eight components. The UNAIDS framework describes the key components of an effective M&E system.

These 12 components of a Monitoring and Evaluation System shown in Figure 2.1 can be classified into three categories as described below.

i. The outer ring has six components associated with partnerships, people and planning that supports production and use of data.
ii. The middle ring has five 5 components that are related to data management
iii. The inner ring represents data analysis to produce information which is disseminated to all stakeholders to aid in decision

Figure 2.1: 12 Components of an M&E System

Source: UNAIDS 2009

2.2.1 M&E Component (Organizational Structure)

For an effective M&E system an organization needs to establish an M&E unit that is mandated to manage all activities pertaining M&E as well as request data from all stakeholders. The M&E unit needs to have the autonomy to explicitly report on M&E data. An organization should have M&E staff at all levels, this includes national and sub national levels. In addition to financial and human resources, basic infrastructure, supplies and equipment are also required for an effective M&E system.

2.2.2 M&E Component (Human Capacity for Monitoring and Evaluation)

Organizations need to ensure that the M&E system has the required skilled human resources. Similarly human resource capacity building plan should be built at all levels in the M&E system. The plan must clearly show what are the expected outputs, have quantifiable performance objectives and a plan to track the progress. Capacity building involves a number of activities for example, service training, training, mentorship, internships as well as coaching. M&E capacity building should address both technical and financial capacity building aspects

2.2.3 M&E Component (M&E Partnerships)

Organizations should institute and sustain M&E partnerships through Technical Working Group (TWG) that meets frequently. The TWG should include all relevant M&E stakeholders as outlined in the costed M&E work plan. The partnerships can also be constituted through joint planning as well as joint M&E activities with representation from different sectors. It is important to have a mechanism in place to communicate with stakeholders who provide M&E technical support.

2.2.4 M&E Component (M&E Plan)

A good plan for M&E should be formulated and updated through the participation of all the key stakeholders. To ensure that pertinent data is collected, the goals in the plan must be interrelated to the overall strategic plan so that progress in implementing of programs can be measured. The National plan for M&E should outline how all the 12 components for M&E system shall be implemented. It should also define the implementation plan and specify what resources will be required and how they will be mobilized. The national

indicators and the national M&E plan should abide to the national and global technical standards. The plan needs to be evaluated and updated regularly to make amendments in data collection strategy due to changes in the overall strategic plan, and to support the system performance as per the M&E periodic reviews.

2.2.5 M&E Component (Costed M&E work plan)

A costed M&E work plan should be established and should describe the M&E priority activities with defined responsibilities for implementation, costs for each activity, clear timeline for delivery of outputs and identified funding. Costed M&E work plan enables the organization to make sure that financial and human resources are mobilized. The costed work plan for M&E should indicate who will finance and implement the planned activities. A costed M&E work plan is a combined work plan that incorporates the M&E undertakings of all important stakeholders. It enables key participants to plot and implement activities in a coordinated way; therefore it needs to be done through the participation of all the stakeholders.

2.2.6 M&E Component (M&E Advocacy, Communication and Culture)

M&E culture needs to be encouraged and strengthened and this can be achieved by reducing the negative connotations regarding M&E. To achieve this it is important for organizations to have a communication, advocacy and culture strategy for M&E. The strategy should be multi- dimensional, with messages that target different audiences. Communication and advocacy strategy helps to get political support for accountability and transparency and to obtain political support it is important to find a champion for M&E. The champion should be influential and can encourage the use of M&E to a wide

variety of audiences. This is important so that people can understand the importance of having quality data for decision making and policy formulation. The M&E communication and advocacy strategy should be incorporated in the organization communication strategy, this is important so as to make sure that M&E activities are being mainstreamed into interventions and programmes.

2.2.7 M&E Component (Routine Programme Monitoring)

Stakeholders data needs should be determined and the routine data be availed to them at the right time as maybe required so as to help in decision making. The standardized data should be obtained from different levels of the programme and this includes at the input, activity and output levels. The M&E unit should make sure that data is entered into the national M&E system in a timely manner so that they can be included in the routine reports and other information products.

2.2.8 M&E Component (Surveys and Surveillance)

In the context of programme it is important to take into account why there is need for a survey and what are the specific focus and contents of every survey. Data collection tools and protocols must be founded on the international standards for surveys. To get sufficient quality levels of data and ensure that results from subsequent surveys are related from time to time, it is important that the agreed standards are adhered to. When conducting surveillance and survey, organizations may also consider doing data collection at the same time. By doing so, the organization will have saved on time and money.

2.2.9 M&E Component (M&E Database)

An electronic information system is comprised of hardware, software, and skilled human resource that use the electronic database to capture, analyze, verify and share information. A database is not a precondition for an effective national M&E system; therefore there is need to have well-defined roles and responsibilities at service delivery, sub-national and national levels so as to ensure timely flow of data among the levels.

2.2.10 M&E Component (Supervision and Data Auditing)

Supervision is defined as guiding and managing performance of others by transferring knowledge, skills and attitudes which are required to achieve the set objectives. It helps the supervisor to assess the work that has been done, analyze it and give feedback to the supervisee on the areas that need improvements. On the other hand data auditing refers to the process of validating the accuracy and completeness of reported data. Routine data quality checks should always be done so as to ensure that the quality of data is continuously improved and sustained. Guidelines on supervision are important in standardizing procedures and communicating expectations.

2.2.11 M&E Component (Research and Evaluation)

Research and Evaluation is an essential component of the M&E system. Data from research and evaluation activities ensures that programme planning is evidence based and also the data can be used to guide improvement of ongoing programme. In order to identify research and evaluation needs it is important to establish a credible process to identify research and gaps in evaluation those are linked to the national strategic plan. This is important since the process ensures relevance of the research and evaluation

studies to the needs of the programme and at the same time it provides actionable results. To avoid duplication of efforts while conducting research and evaluation activities there is need to have good coordination of the activities. The results of the study should also be shared to all the stakeholders so that it can aid in decision making.

2.2.12 M&E Component (Data Use and Dissemination)

The primary objective of carrying out M&E is to get the data required to guide in the formulation of policies and programme operations. The M&E plan should have a detailed data utilization plan which is linked to data needs and data collection efforts. It should also have specific information products meant for different types of audiences and a schedule for dissemination of the information. The national M&E plan should also include activities to promote use of data, example of this activities include focus group discussions, workshops and meetings to discuss the importance of M&E data in programme planning and development.

A functional M&E system systematizes and presents data in a way that enables use of data use at all levels. There are a variety of approaches to encourage dissemination of data and use including; timely dissemination of good quality data, ownership of data, determining suitable information products for a variety of users, allocation of resources for data dissemination and use activities.

2.3 Operational Framework

The operationalization of all the 12 components of the YEDF M&E system was done through an assessment against the set indicators/standards. The study adopted the UNAIDS (2009a) HIV monitoring and evaluation framework for a fully functioning national Monitoring and Evaluation system.

Table 2.1: Operational Framework

M&E Components	Indictors/standards
Organizational structure	• Existence of M&E unit • Adequate M&E staff in organization • Adequate qualified M&E staff in the field offices • M&E responsibilities are clearly defined in JDs • M&E staff are adequately motivated
Human capacity for M&E	• Monitoring and Evaluation related skills for staff have been assessed in last 3 years • M&E staff have skills needed to fulfill organizational M&E mandate • Gaps of M&E related skills required by staff have been incorporated in organization human capacity building plan • Human capacity related to M&E is developed in the learning institutions • Building capacity through supervision and on job training • Coordination of building capacity efforts to avoid duplication of efforts.
M&E Partnerships	• There is a (TWG) organized by YEDF • The TWG meets regularly • Others agencies and partners participate in the TWG • The TOR for the TWG clarifies the role of TWG in coordinating M&E system • M&E TWG makes decisions via consensus Building • Inventory of M&E stakeholders is regularly updated • There is a mechanism to communicate about M&E activities
Monitoring and Evaluation Plan	• Multi-sectoral plan is in existence • Sections actively took part in designing the multi-sectoral plan • The set of indicators were assessed during development of

	the plan • Sections have their own M&E plans • Section specific plans are incorporated into the Organization's overall plan • There is an M&E plan for the current year
Costed Monitoring and Evaluation work plan	• Costing of M&E activities has been done • Specific time frames are allocated for implementation of activities. • Each section has a costed work plan. • Section costed work plan is included in the national M&E work plan • Organizational specific work plan for M&E have the required resources • The current year M&E plan was developed against previous years activities. • Sections were involved in the creation of the costed M&E work plan
M&E Advocacy, Communication and Culture	• The organization has people who champion and support M&E activities • M&E Performance is frequently Communicated • M&E system information is useful to stakeholders • Managers are supportive and involved in M&E activities • M&E staff are part of planning and management team • There are opportunities for career development for M&E staff • M&E plans are integrated in the organization overall policy
Routine programme monitoring	• Guidelines exist that document the procedures for • reporting programme monitoring data • There are guidelines that specify how quality of • data should be maintained • Sections use standardized reporting forms • All source documents have been available during previous data auditing visits. • Reports are verified by responsible officers before aggregating the data. • There are mechanisms to resolve variances in reports • Results of routine program monitoring are used to • formulate indicators in the monitoring and evaluation plan
Survey and Surveillance	• Inventory of survey conducted in the last 12 months have been updated. • Surveys conducted have supported measuring of indicators • National survey or surveillance is conducted every 2-3

	years
M&E databases	• Data is captured and stored electronically in an integrated database • There are structures for transmitting information among various databases • There are mechanisms to ensure that data is captured accurately.
Supervision auditing and data	• There are procedures and mechanisms for supervision of M&E activities. • Results of supervision have been documented and shared with the supervisee. • Supervision and data auditing results can be accessed by sections results • Results of data auditing have been documented and feedback shared with the stakeholders
Research and Evaluation	• There is a register of evaluation and research activities • There is a committee responsible for coordinating research and evaluations activities • Evaluation and Research results are being used in formulation of policies. • Findings of research and evaluation are regularly discussed and disseminated. • Resources for carrying out planned research and evaluations activities are available
Data use and dissemination	• Information needs of stakeholders have been assessed • Dissemination of Information products is regularly sent to the relevant stakeholders • Information is often transmitted to a variety of stakeholders • Information products from national and sub-national levels satisfy stakeholders information needs • Analysis, presentation and use of data is supported by laid down guidelines • Data/information products in the public domain can be accessed by stakeholders

CHAPTER THREE: STUDY METHODOLOGY

3.1 Introduction

The chapter explains how the research was designed; data collected, analyzed and the methodology adopted to enable the study to establish the status and performance of M&E system of YEDF. It focuses on data sources, sampling and target population, data collection methods and tools, operational approach of variables, data processing and analysis and ethical considerations.

3.2 Data sources

The assessment employed primary as well as secondary sources of data. Primary source of data was obtained by administration of questionnaires to selected respondents from the Strategic Plan Implementation Committee (SPIC), M&E unit, programme staff and the M&E community of practice. Secondary data on the other hand was collected through the review of various documents.

3.3 Sampling and target population

Purposive sampling was used for the study; this method is applied where sampling is done with a specific purpose (Morra Imas & Rist, 2009). For the purpose of this study, this sampling method allows the researcher to choose key informants who are best suited to give credible information needed for the study. FHI 360 (2013) recommends that the assessment should be sampled purposively on the basis of high volume data and priority. The sample size for the study was 20 respondents; this sample size represents the total number staffs who were involved in M&E work within the organization. A sample size of

20 was determined based on availability and relevance of the respondents to the study, resource limits and also scientifically proven appropriate sample size to give valid conclusions (Mugenda & Mugenda A. 1999).

The target population for this study was the YEDF M&E unit which comprises the Chief of Planning Monitoring and Evaluation, Research Specialist, Monitoring and Evaluation Specialists, Monitoring and Evaluation Officer, Programme Officer.

3.4 Data collection methods and tools

3.4.1 Interview

Primary data was collected through the administration of a questionnaire to the target population. A questionnaire was designed based on indicators/standards of a functional M&E system adopted from the UNAIDS (2009a). The questionnaire focused on the evaluation of the 12 components of an M&E system.

3.4.1 Document Review

This method was used to collect secondary data. Documents reviewed included; M&E frameworks, minutes from meetings and workshops, M&E plans and annual reports. The study adopted the UNAIDS (2009a&b).

3.4.2 Operational approach of variables

To operationalize the assessment of YEDF M&E system, the researcher adopted the UNAIDS (2009a) 12 Components of Monitoring and Evaluation System Strengthening Tool, which has series of statements with three response scales as indicated below.

- Five point scale (Not Applicable, Yes completely, Mostly, Partly, No not at all)
- Three point scale (No, Not Applicable, Yes)
- Numerical responses

An example of the statement: “The frequency of data collection is stated for all indicators.” If frequency is indicated for all the indicators, the response will be “Yes-completely”. When it is at least 75 percent but less than 100 percent of indicators, the answer should be “Mostly”. If for at least 50 percent but less than 75 percent of indicators, the response shall be “Partly”, and if there are no indicators with frequency stated, the answer will be “No-not at all”. When the statement is not applicable, the response should be “Not Applicable”.

Depending on type of question, the respondents were expected to select the appropriate response from the given options. The response scales were computed against the total number of responses available for that component to give a reflection of its performance expressed as a percentage.

Expected value = Total number of the respondents * Total number of response options

Actual value = Aggregate value of the responses given.

Variance = Expected value - Actual value

Percentage value = Expected value/Actual value * 100

For example, the M&E component on organizational structure with M&E functions on whether M&E responsibilities are clearly defined in job descriptions, the question has 4 response options i.e. 1. Strongly disagree 2. Disagree 3. Agree 4.strongly Agree.

To get the **expected value**= Total number of respondents* Highest value of response option i.e.

14 * 4 = 56

Actual value = total value of responses from each respondent e.g. 3+4+3+2+4.....and so on up to the 14th respondent.

CHAPTER FOUR: THE STATUS OF YEDF MONITORING AND EVALUATION SYSTEMS

4.1 Introduction

This chapter focused on the assessment of YEDF monitoring and evaluation system so as to establish if it meets the established M&E standards and identify the challenges that the M&E unit experiences. The chapter hence describes study findings and interpretations of data obtained from key informants of the study.

4.2 Response rate

Out of the 20 questionnaires administered, 14 were filled and returned, which represents a 70 percent response rate. 6 of the questionnaires were not filled and returned due to some respondents going on leave and others travelling out of the country and, therefore, not able to respond in time for the analysis. Mugenda and Mugenda (2003) stated that a response rate above 50% is adequate for analysis and reporting; a rate of 60% good and a response rate of 70% and over is excellent, therefore the study had an excellent response. This was brought about by excellent data collection procedures used where the researcher pre-notified the potential respondents and applied the drop and pick method to allow the respondents ample time to fill the questionnaires.

4.3 Background Characteristics of the respondents

This study sought to find out the background information of respondents which included sex, education level and years worked, job designation and whether they have any M&E training. Table 4.1 depicts respondents by sex to establish if there were gender parities in

the positions. The study showed that most of the respondents were male at 57 percent while female respondents were only 43 percent. This implies that there were more male than females involved in M&E activities at YEDF.

In regards to levels of education, the results indicated that 57 percent of the respondents had attained graduate level, 21 percent had diplomas, 14 percent had postgraduate while 7 percent had attained secondary level. These imply that, 93 percent of the respondents had post-secondary education. 72 percent of the respondents had 0 – 5 years of work experience, 21 percent had experience between 9 – 12 years while 7 percent had experience between 6 – 8 years.

The research involved all levels of staff which included the M&E manager, M&E officers, senior and junior credit officers, data clerks and an administrative staff. 43 percent of the respondents had no form of training in M&E while 36 percent had some form of training. The results on the demographic data are as shown in table 4.1 below

Table 4.1: Percent distribution of respondents by background characteristics

Demographic data			
Characteristics		**Number of responses**	**Percentage %**
Sex	Male	8	57
	Female	6	43
Level of Education	Secondary	1	7
	Diploma	3	21
	Graduate	8	58
	Postgraduate	2	14
Years of Experience	0 - 2 years	5	36
	3 - 5 years	5	36
	6 - 8 years	1	7
	9 - 12 years	3	21
Job Designation	Credit officer	5	36
	Monitoring and Evaluation Officer	4	29
	Monitoring and Evaluation Manager	1	7
	Administrative Assistant	1	7
	Data Clerk	3	21
Training in M&E	Yes	8	57
	No	6	43

4.4 The status of M&E system of YEDF

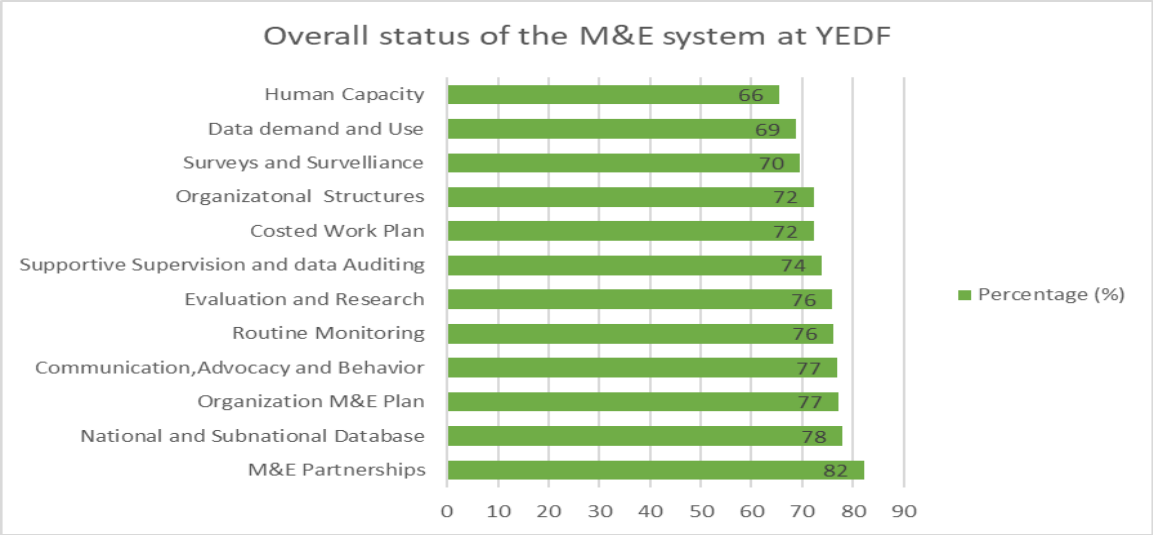
Overall scoring for the 12 M&E system components was computed as shown in table 4.2. The results showed that the best performing components was the M&E partnerships which had a score of 82 percent. The results further revealed that the lowest scoring component was human capacity in M&E at 66 percent. The assessment also found out that the mean score for the YEDF M&E system was 74 percent.

Table 4.2: Overall Status of the M&E System at YEDF

	M&E Component	Actual score	Expected Score	Variance	Percentage %
1	**Organizational structure**	172	238	66	72
2	**Human capacity**	101	154	53	66
3	**M&E Partnerships**	161	196	35	82
4	**Organizational M&E plan**	162	210	48	77
5	**Costed work plan**	223	308	85	72
6	**Communication, advocacy and behavior**	226	294	68	77
7	**Routine Monitoring**	128	168	40	76
8	**Surveys and Surveillance**	156	224	68	70
9	**National and sub national database**	142	182	40	78
10	**Supportive Supervision and data supervision**	186	252	66	74
11	**Evaluation and Research**	170	224	54	76
12	**Data demand and use**	202	294	92	69
	Totals	**2029**	**2744**		**74**

The information in table 4.2 was represented as shown in figure 4.1 below.

Figure 4.1: Overall status of the M&E system at YEDF



Objective 1: Determining if the M&E system of YEDF M&E meets the set standards.

Outer ring: Resources, partnership and planning

The outer ring compromised of six components. The overall percentage score for resources, partnership and planning was 75 percent which is slightly above the overall mean of 74 percent. However, the ring had the highest and the lowest performing components. The values are as shown in table 4.3 below.

Table 4.3: Resources, Partnership and Planning

Components	**Actual score**	**Expected score**	**Percentage %**
Organizational structure	172	238	72
Human capacity	101	154	66
M&E Partnership	161	196	82
Organizational M&E plan	162	210	77
Costed work plan	223	398	72
Communication, advocacy and behavior	226	294	77
Score	**1045**	**1400**	**75**

4.4.1 Organizational structure

The results on organizational structure showed that there is an existing M&E unit at YEDF. However there was concern about the number of M&E staff in the unit which scored 52 percent consequently, YEDF relies on external M&E on an ongoing basis which scored 69 percent. Regular meetings are held in the M&E unit for program assessments which scored 75 percent. Despite the low number of M&E staff, responsibilities of M&E are clearly defined in the job description. These results are as shown in table 4.4 below.

Table 4.4: Organization structures

	Organizational structures	**Actual score**	**Expected score**	**Percentage %**
1	Existence of M&E unit/directorate	28	28	100
2	M&E responsibilities are clearly defined in job descriptions	44	56	79
3	Number of M&E staff at the unit/directorate is adequate	29	56	52
4	M&E unit meets regularly to assess progress, plan, and coordinate	42	56	75
5	The organization relies on external M&E on an ongoing basis	29	42	69
		172	**238**	**72**

4.4.2 Human capacity

Human capacity of M&E had the lowest score of 66 percent. In addition to the unit having a low number of M&E staff, the available staffs do not have the required skills and competencies needed which had a score of 61 percent. However, the M&E staffs were able to collate process and analyze data as well as carry out tasks on data quality. The results are as shown in table 4.5 below.

Table 4.5: Human Capacity

	Human capacity	Actual score	Expected score	Percentage %
1	Staff in M&E have skills and competencies needed	34	56	61
2	Staff are able collate, process and analyze data	28	42	67
3	Staff are appropriately trained to carry out tasks on data quality	39	56	70
		101	**154**	**66**

4.4.3 Monitoring and Evaluation Partnerships

Monitoring and Evaluation partnerships had the highest score of 82 percent among the components. Table 4.6 shows that YEDF M&E has well defined roles of and responsibilities related to M&E as well as an inventory for M&E stakeholders. Moreover, YEDF holds regular M&E meetings for the stakeholders and tries to adhere to its responsibilities. On the low down, there are no clear mechanisms to communicate about M&E activities and decisions that had a score of 67 percent.

Table 4.6: M&E Partnerships

	M&E Partnership	Actual score	Expected score	Percentage %
1	Defined roles and responsibilities are related to M&E	28	28	100
2	Defined roles and responsibilities are adhered	42	56	75
3	An inventory of stakeholders for the organization is available	28	28	100
4	Clear mechanisms to communicate about M&E activities and decisions	28	42	67
5	Regular M&E related meetings for stakeholders	35	42	83
		161	**196**	**82**

4.4.4 Organization of M&E plan

The results depicted that YEDF has a well-functioning organization M&E plan. However there were concerns on how information and data are received as per provided guidelines which had a score of 68 percent and also the budget – planning interrelations on activities scored 64 percent. The findings are as presented in table 4.7.

Table 4.7: Organization of M&E Plan

	Organizational M&E plan	**Actual score**	**Expected score**	**Percentage %**
1	Reviewed and updated M&E plan for the organization	27	28	96
2	Clear guidelines on information need and when to receive and distribute	28	28	100
3	Information and data are received as per the stipulated guidelines	38	56	68
4	Total budget cost for last year's M&E planned activities was achieved	36	56	64
5	Percentage of last year's M&E plans achieved	33	42	79
		162	**210**	**77**

The findings in Table 4.8 below show that YEDF M&E work plan activities are costed and has been endorsed by relevant stakeholders. The work plan has specific resources committed to implementing it, it clearly identifies implementers of activities, time frame, cost and funding and it is regularly updated. However the assessment showed that the committed resources are not adequate to implement the work plan which had a score of 50 percent.

Table 4.8: Costed Work Plan

	Costed work plan	Actual score	Expected score	Percentage %
1	M&E activities are costed	34	42	81
2	Work plan clearly identifies, implementers, timeframes, costs and funding	42	56	75
3	Work plan has been updated based on performance monitoring	42	56	75
4	Work plan has been endorsed by relevant stakeholders	45	56	80
5	Specific resources has been committed to implement the work plan	32	42	76
6	Committed resources are adequate to implement the work plan	28	56	50
		223	**308**	**72**

4.4.5 Communication, Advocacy and Behavior

Table 4.9 shows the findings on communication, advocacy and behavior. The results show that, despite YEDF having an existing team in charge of advocacy, communication and social mobilization as well as TORs that outline how communication should be conducted, there were low scores the support and advocacy for M&E and motivation to gather information that is used in reporting where they both scored 67 percent.

Table 4.9: Communication Advocacy and Behaviour for M&E

	Communication, advocacy, behavior for M&E	Actual score	Expected score	Percentage %
1	Strong advocacy and support of M&E in the organization	28	48	67
2	Organizational leadership supports the M&E activities	40	56	71
3	Organization has specific communication strategy	31	42	74
4	Communication strategy addresses all aspects of organization activities	43	56	77
5	Existence of a team in charge of advocacy, communication and social mobilization	28	28	100
6	Terms of reference that outline how communication should be conducted	28	28	100
7	Staff motivated to gather information that is used for reporting purposes	28	42	67
		226	**294**	**77**

Middle Ring: Data management

The middle ring which consist of five components on data management. The overall score for data management was 74 percent. All the components had an average performance with the highest being national and sub national database with a score of 78 percent and the lowest score of 70 percent for surveys and surveillance. The findings are as per table 4.10 below.

Table 4.10: Data Management

	Data management	Actual score	Expected score	Percentage %
1	**Routine monitoring**	128	168	76
2	**Surveys and surveillance**	156	224	70
3	**National and sub national database**	142	182	78
4	**Supportive supervision and data auditing**	186	252	74
5	**Evaluation and research**	170	224	76
	Score	**782**	**1050**	**74**

Routine Monitoring

As shown in table 4.11, YEDF has guidelines for recording, collecting and reporting routine data and tools and equipment for data management and indicators for performing monitoring. However, there was a dispute about using uniform data collection forms on all three tiers of an M&E system which scored 69 percent.

Table 4.11: Routine Monitoring

	Routine monitoring	**Actual score**	**Expected score**	**Percentage %**
1	Availability of essential tools and equipment's for data management	30	42	71
2	All tiers use uniform data collection forms	29	42	69
3	Tools capture essential indicators for routine performance monitoring	41	56	73
4	Guidelines for recording, collecting and reporting routine data exist	28	28	100
		128	**168**	**76**

Surveys and Surveillance

As shown in table 4.12 the surveys and surveillance had an overall score of 70 percent. From the assessment, there was an agreement that a surveillance system helps in undertaking functions in M&E. However the results showed that there was a weak functioning surveillance system with a score of 54 percent. The results further revealed that there was low inventory on past years surveys and surveillance activities at 67 percent.

Table 4.12: Surveys and Surveillance

	Survey and surveillance	Actual score	Expected score	Percentage %
1	Inventory of surveys and surveillance activities available	30	42	71
2	Inventory of surveys and surveillance activities conducted is up to date	28	42	67
3	Protocols for surveys and surveillance activities undertaken in the past year exist	15	28	54
4	Functioning surveillance system exist			
5	Surveillance system helps in undertaking functions	42	56	75
		156	**224**	**70**

National and Sub-National Databases

Table 4.13 shows the findings on national and sub national database which indicated that YEDF database was well established and up to date.

Table 4.13: National and Sub-national Databases

	National and sub national databases	Actual score	Expected score	Percentage %
1	Database for capturing and storing data is up to date	30	42	71
2	Database captures all data elements required by the organizations M&E system	28	28	100
3	Structures, mechanisms, procedures and time frame for database management exist	42	56	75
4	The organization is able to generate routine monitoring reports from the database	42	56	75
		142	**182**	**78**

Supportive Supervision and Data Auditing

As shown in table 4.14, data quality audits are not adequately conducted as per the stipulated policy and procedures at 66 percent as well as guidelines and tools for supportive supervision at 67 percent. Despite that, there were strong uses of findings from the data quality audit are shared to stakeholders at 80 percent.

Table 4.14: Supportive Supervision and Data Auditing

	Supportive supervision and data auditing	**Actual score**	**Expected score**	**Percentage %**
1	Guidelines and tools for supportive supervision are available	28	42	67
2	Last supportive supervision was conducted in accordance with the current guidelines	42	56	75
3	Policy, procedures and tools for data quality audits are available	37	56	66
4	Data quality audits are conducted as per the stipulated policy and procedures	42	56	75
5	Findings from the data quality audit are shared with stakeholders	37	42	88
		186	**252**	**74**

Evaluation and Research

As shown in table 4.15 below, the M&E unit conducts reviews with stakeholders on M&E results against the M&E plan and also holds forums that bring together the stakeholders. However there is a challenge with inventory register database for planned activities and forums for dissemination and discussion of evaluation and findings.

4.15: Evaluation and Research

	Evaluation and research	Actual score	Expected score	Percentage %
1	Inventory register database that includes conducted/planned evaluation activities exists.	28	42	67
2	Organization-specific research agenda exists	41	56	73
3	Organization forums for dissemination and discussion of evaluation and research findings exists	29	42	69
4	Forums bring in key stakeholders in M&E	34	42	81
5	M&E conducts reviews with stakeholder of M&E results against the M&E plan	38	42	90
		170	**224**	**76**

Inner ring: Data demand and Use

Table 4.16 shows that data demand and use had an overall score of 69 percent. It was the second least score among the components.

Table 4.16: Data demand and Use

	Data demand and use	Actual score	Expected score	Percentage %
1	**Data demand and use**	202	294	69
				69

As shown in table 4.17 YEDF has an existing data use plan and the plan is informed by an assessment of user needs. The M&E unit produces products that present information useful for decision making. However, the data use plan is not fully embedded strategic plan and M&E plan, information products do not fully contribute in influencing policy and practice and YEDF does not disseminate all information products to stakeholders. These results are depicted by the scores of 64, 61 and 51 percentages respectively.

Table 4.17: Data Demand and Use

	Data demand and use	**Actual score**	**Expected score**	**Percentage %**
1	Organizational data use plan exists	28	28	100
2	Data use plan is embedded in the organizations strategic plan and M&E plan	36	56	64
3	Data use plan is informed by an assessment of user needs	43	56	77
4	M&E unit produce M&E products that presents information useful in decision making	30	42	71
5	The organization disseminates products and stakeholders	31	56	55
6	Information products have contributed to influence policy and practice	34	56	61
		202	**294**	**69**

CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter summarizes the findings and basing on the same, presents conclusions and recommendations of the assessment. The chapter presents recommendations for each of the 12 M&E components so as to help identify specific areas for strengthening.

5.2 Summary of the findings

The assessment aimed at: determining the level to which the YEDF M&E system meets the established standards; identifying strengths and gaps of YEDF M&E system; and determining how the products of YEDF M&E system have been used to improve the programme. The assessment employed descriptive research design which allowed for description of YEDF M&E system as it is and helped to establish strengths and gaps which was fundamental to the realization of research objectives. Data was collected through documents review, Key Informants' Interviews, discussions and observation. Data was analyzed both quantitatively to produce the results.

Overall, YEDF M&E system scored 2029 out of 2744 which is 74 percent. Scores vary from component to component with M&E partnerships scoring the highest at 82 percent and human capacity recording the lowest score at 66 percent. Basing on grading criteria that was developed during the study by the author, YEDF system was rated as 'good' at 74 percent.

The key strengths of YEDF M&E system include: strong M&E partnerships, proper alignment of the indicators to those at the national level indicators, use of standardized data collection tools, presence of M&E databases to track progress, continuous communication and advocacy to improve programme. Key gaps that were identified include: documentation of M&E procedures, inadequate evaluation and research capacity of M&E staff, M&E staff reporting to non-M&E staff, corrections are not made after data quality assessments, evaluations/follow ups are done in line with credit recovery and no component of YEDF M&E system has been shared in a conference or published in a peer reviewed publication.

In reference to contribution of YEDF M&E system to programme improvement, it was observed that YEDF M&E system has been vital in tracking progress against targets, reviewing and improving programme implementation strategies, designing new innovations, ensuring that the right target group is reached and strengthening efficiency of YEDF programme.

5.3 Conclusions

YEDF M&E system is a strong case worth sharing. At 74 percent, the M&E system was rated 'good', of course with areas for improvement. In terms of practice, a lot is taking place as far as M&E is concerned notably, in resources and capacity building, data quality systems, data analysis and use and evaluation. However, other components need strengthening with critical focus on human capacity to acquire more staff with the required knowledge, skills and experience to carry out M&E work more effectively. The ongoing process of reviewing the M&E plan should directly address the documentation

aspect. Moreover, with continuous management support, resource allocation and assessment for improvement, YEDF M&E system can be an exemplary system for adoption other affirmative funds in the country.

5.4 Recommendations

On the basis of the conclusions above, the following recommendations were made for each of the components that were assessed.

a) Resources and Human capacity

M&E budget lines should be specified in budgets so as to clear M&E activities in the budgets. It was observed adequate allocation of resources and capacity building initiatives are key to improving programme performance.

Evaluation and research capacity of the M&E team should be enhanced through training and mentorship so that their potential can be fully tapped and utilized. Subsequently, an M&E Consultancy Unit can be a good way of tapping such capacity to provide M&E technical knowledge in the organization.

For better coordination of M&E practice in YEDF, all the M&E Officers should directly report to the head of M&E unit. It was observed that the M&E Officers report to the non M&E staff and yet there is an M&E Manager who provides technical coordination of M&E work. This will ensure more coordinated M&E practice and approaches.

b) Documentation (Plans, Guidelines and Operational Documents)

All M&E processes and procedures should be clearly defined in the M&E Plan. This entails updating of the current M&E Framework and aligning it to the new Strategic Plan

M&E. The M&E Plan should document all M&E procedures and processes to guide M&E practice YEDF.

The M&E Framework (once reviewed, the M&E Plan) should be disseminated to all staff and copies of the same shared to keep provide a point of reference for M&E practice at YEDF. It was observed that most staff do not have a copy of the M&E Framework and yet they have a role in M&E practice in YEDF.

The M&E Framework (once reviewed, the M&E Plan) should contain key performance indicators that will be used to track the Strategic Plan. A results framework linking programme goals to intermediate results and outcomes or outputs should be provided. Clear targets for key performance indicators should also be provided.

The M&E Framework (once reviewed, the M&E Plan) should contain an M&E-specific organogram that clearly show the link to the larger organizational organogram.

c) Data Collection and Management

A single database should be developed where all YEDF data (services, trainings, activities etc) is stored. This will ease access and make data retrieval faster and easier.

Measures that will promote confidentiality of client information and should be aligned to the national information security protocols.

In-house programming capacity should be built to equip with programming skills to be able to respond to programming queries that are raised from time to time by end by the stakeholders. This will reduce turn-around time and enhance sense of ownership of the YEDF.

A single database should developed where all YEDF data (services, trainings, activities etc) is stored. This will ease access and make data retrieval faster and easier.

d) Data Quality Systems

All the data collection tools should have guidelines to guide the M&E staff when collecting data. YEDF should borrow from NGO sectors to adopt the same.

Constituency offices should be interlinked so as to minimize the risks of use of unstandardized data collection and quality verification methods.

Efforts should be made by the directorate to ensure that all sites use standard data collection forms so as to get the right information in the same format.

The constituency Managers should be mentored and incentivized to review data on a regular basis and before submitting reports to head office for quality assurance. This should include checking for correctness and completeness of data collection and reporting.

They should ensure that reports are submitted on time by project sites and to allow for adequate time for review and taking remedial actions.

The M&E team should ensure frequent data verification exercises are conducted and that remedial actions are taken in a timely manner by making the necessary corrections on historical data before submission to the donors.

The constituency officers should ensure that collection of data is done on all the indicators so as to avoid cases of under-reporting which has a negative effect on performance.

e) Data Verification

Data verification exercises should conducted by the M&E team on a more frequent basis. The capacity of facility teams to conduct data verification should be built so as to enhance the culture of Routine Data Quality Assessments (RDQAs). As recommended earlier, corrections should be made on a timely manner before reports are shared with donors and other stakeholders.

f) Data Analysis and Use

Procedures for regular reviews should be documented in the M&E Plan to ensure regular (at least quarterly) review of M&E data by programme/project managers, M&E staff, and technical staff.

Data analysis should be enhanced to move beyond project level to the whole programme and usage of results in decision making at the organizational level. This can be enhanced by more use of the Branch Performance Tools (BPT) to inform management decisions at higher organs.

g) Evaluation

The M&E team should conduct rapid assessments on a regular basis focusing on outcomes to continuously document and demonstrate programme successes.

A clear mechanism of following up on recommendations made in evaluation reports should be incorporated into the M&E Plan to strengthen use of evaluations in programme improvement.

Deliberate efforts should be made to involve more stakeholders in evaluations so to build their capacity on the same. Hence, future evaluations should focus on not only in mobilization and data collection but also in data analysis, reporting and use.

Dissemination of future evaluations should expand to include beneficiaries since they are directly affected by the interventions and evaluation results. However, the level of involvement should be carefully considered.

h) Alignment and Leadership

YEDF should invest more in documenting strong areas in its M&E systems such as strong partnerships. This can be done through workshops forums, presentations in national and international forums and publishing in peer-reviewed journals. This will enhance knowledge sharing and cross-learning.

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APPENDIX I: QUESTIONNAIRE

Dear Respondent,

Greetings, My names are David Kasyoka, a student at the University of Nairobi pursuing a Master's Degree in Monitoring and Evaluation of Population and Development. I am carrying out a research to assess the Monitoring and Evaluation System of Youth Enterprise Development Fund YEDF. The survey will focus on the 12 components of an M&E system and will help in providing an in-depth understanding of the Monitoring and Evaluation system of YEDF.

The outcome of this study will be useful to me in fulfilling my academic requirement for the award of Master's Degree in Monitoring and Evaluation, and to YEDF stakeholders and the Board in terms of how well the M&E system of the YEDF is functioning. The information you will provide me will be treated with confidentiality and will be used for the purpose of this study only.

Your identity will not be revealed to anyone, are you willing to fill in the questionnaire?

1. Yes 2. No

SECTION A (RESPONDENT'S DETAILS)

1. Sex

I. Male 2. Female

2. Level of education

1. Secondary

2. Diploma

3. Graduate

4. Postgraduate

3. How long have you been working at the youth enterprise development fund?

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4. Job Designation

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5. Have you received any training in Monitoring and evaluation?

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1. Yes 2. No

SECTION B:

<u>Component 1: Organizational Structure with M&E Functions</u>

1. The organization has an M&E unit/directorate

   1. No 2. Yes

2. The M&E responsibilities are clearly defined in job descriptions

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. The number of M&E staff at the unit/directorate is adequate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. M&E unit meets regularly to assess progress, plan, and coordinate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

5. The organization relies on external M&E on an ongoing basis to fulfill routine M&E tasks

1. Not at all 2. Yes partly. 3. Yes completely

6. Please identify any three major challenges in the organizational structure in relation to

M&E functions

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7. Please suggest any key improvements that are necessary in this area

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Component 2: Human Capacity for M&E

1. Staff at the entity involved i n M&E have the skills and competencies needed to fulfill the entity's M&E mandate

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

2. Staff are able to collate, process, and analyze data

I. Not at all 2. Yes partly 3. Yes completely

3. Staff are appropriately trained to carry out tasks relating to assessment of data quality (Completeness, timeliness, accuracy, reliability)

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. Please identify any three major challenges in human capacity for M&E

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5. Please suggest any key improvements that are necessary in this area

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Component 3: M&F Partnerships

1. Standard operating procedures that define roles and responsibilities related to M&E functions and activities exist

1. No 2. Yes

2. Standard operating procedures that define roles and responsibilities related to M&E functions and activities are adhered to

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

An inventory of M&E stakeholders for the organization is available

1. No 2. Yes

3. There are clear mechanisms (e.g. feedback reports, newsletters) to communicate about M&E activities and decisions.

1. Not at all 2. Yes partly 3. Yes completely

4. There are regular M&E- related meetings for the stakeholders

1. Not at all 2. Yes partly 3. Yes completely

5. Please identify any three major challenges in M&E Partnerships

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6. Please suggest any key improvements that are necessary in this area

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Component 4: Organization M&E Plan/ Framework

1. There is a reviewed and updated M&E plan for the organization

1. No 2. Yes

2. Are there clear guidelines with dates specifying when information or reports need to be both received and distributed by the M&E unit?

1. No 2. Yes

3. Information and data are received as per the stipulated guidelines

1 Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. The total budget cost for last year's M&E planned activities was achieved

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

5. What percentage of last year's M&E planned activities do you think were achieved?

1. 0-40% 2. 41-70% 3. 71-100%

6. Please identify any three major challenges in the organization's M&E Plan

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7. Please suggest any key improvements that are necessary in this area

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Component 5: Costed Work Plan

1. The current M&E activities are costed

1. Not at all 2. Yes partly 3. Yes mostly

2. The work plan clearly identifies activities, responsible implementers, time frame, activity costs, and sources of funding

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. The current work plan has been updated based on performance monitoring

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

The current work plan has been endorsed by relevant stakeholders

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. Specific resources (human, financial, and physical) have been committed to implement the work plan

I. Not at all 2. Yes partly 3. Yes mostly

5. The committed resources are adequate to implement the work plan

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

6. Please identify any three major challenges in the organization's Costed Work Plan

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7. Please suggest any key improvements that are necessary in this area

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Component 6: Communication, Advocacy Culture and Behavior for M&E

1. There are people who strongly advocate for and support M&E for the organization

1. Not at all 2. Yes partly 3. Yes mostly

2. The organizational leadership supports the M&E activities

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. The organization has a specific communication strategy

1. Not at all 2. Yes partly 3. Yes mostly

4. The communication strategy addresses all aspects of the organization's activities

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

5. There is a focal person or team in charge of advocacy, communication, and social mobilization

1. No 2. Yes

6. The focal person or team has terms of reference that outline how communication should be conducted

1. No 2. Yes

7. Do you think that the M&E unit staff' feel motivated to gather information that is used for reporting purposes?

I. Not at all 2. Yes partly 3. Yes mostly

8. What do you feel is the M&E Unit's biggest challenge related to the collection, processing and reporting of data?

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9. Please identify any three major challenges in the organization's Communication, Advocacy Culture and Behavior for M&E

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10. Please suggest any key improvements that are necessary in this area

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Component 7: Routine Monitoring

1. Essential tools and equipment for data management are available

1. Not at all 2. Yes partly 3. Yes completely

2. All tiers use uniform data collection forms

   1. Not at all 2. Yes party 3. Yes mostly

3. The tools capture essential indicators for routine performance monitoring

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. There are guidelines for recording, collecting, collating, and reporting routine data

1. No 2. Yes

5. Please identify any three major challenges in Routine Monitoring

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6. Please suggest any key improvements that are necessary in this area

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<u>Component 8: Surveys and Surveillance</u>

1. An inventory of surveys and surveillance activities for the organization is available

1. Not at all 2. Yes partly 3. Yes completely

2. The current inventory of surveys and surveillance activities conducted or planned in the organization is up to date

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. Protocols for surveys and surveillance activities undertaken in the organization in the past year are available

1. Not at all 2. Yes partly 3. Yes completely

4. There is a functioning surveillance system

1. No 2. Yes

5. The surveillance system helps the organization undertake functions related to detection and notification, reporting, and feedback

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

6. Please identify any three major challenges in Surveys and Surveillance

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7. Please suggest any key improvements that are necessary in this area

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Component 9: National and Sub-national Databases

1. A database for capturing and storing data is up to date

1. Not at all 2. Yes partly 3. Yes completely

2. The database captures all data elements required by the organization's M&E system

1. No 2. Yes

3. Structures, mechanisms, procedures and time frame for entering, transmitting, extracting, merging and transferring data exist

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. The organization is able to generate routine monitoring reports from the database

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

5. Please identify any three major challenges in the M&E database

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6. Please suggest any key improvements that are necessary in this area

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Component 10: Supportive Supervision and Data Auditing

1. Guidelines and tools for supportive supervision are available

1. Not at all 2. Yes partly 3. Yes completely

2. The last supportive supervision was conducted in accordance with the current guidelines

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. Policy, procedures, and tools for data quality audits are available

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. Data quality audits are conducted as per the stipulated policy and procedures

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

5. The findings from the data quality audit are shared with stakeholders

I. Not at all 2. Yes partly 3. Yes mostly

6. Please identify any three major challenges in Supportive Supervision and Data Auditing

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7. Please suggest any key improvements that are necessary in this area

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Component 11: Evaluation and Research

1. There is an inventory register database that includes conducted or planned evaluation or research activities

1. Not at all 2. Yes partly 3. Yes completely

2. Organization-specific research agenda exists

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. There are organizational forums for dissemination and discussion of evaluation and research findings

1. Not at all 2. Yes partly 3. Yes mostly

4. The forums bring in key stakeholders in M&E

1. Not at all 2. Yes partly 3. Yes mostly

5. The M&E unit conducts reviews with stakeholders of M&E results against the M&E plan during annual reporting, mid-term and the end of the strategic plan period?

1. Not at all 2. Yes partly 3. Yes mostly

6. Please identify any three major challenges in Evaluation and Research

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7. Please suggest any key improvements that are necessary in this area

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Component 12: Data Demand and Use

1. An organizational data use plan exists

1. No 2. Yes

2. The data use plan is embedded in the organization's strategic plan and M&E plan

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

3. The data use plan is informed by an assessment of user needs

1. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

4. Does the M&E unit produce M&E products (reports, website content, emails, newsletters, maps, tables, charts, etc.) that present information useful for decision making?

1. Not at all 2. Yes partly 3. Yes completely

5. The organization disseminates information products to stakeholders

1. Not at all 2. Yes partly 3. Yes completely

6. Information products have contributed to influence policy and practice (generated from routine data, surveys, surveillance, and research activities)

I. Strongly disagree 2. Disagree 3. Agree 4. Strongly Agree

7. Please identify any three major challenges in Data Demand and Use

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8. Please suggest any key improvements that are necessary in this area

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Thank you